

DATED MATERIAL - OPEN IMMEDIATELY  
**Closing Date: November 15, 2002**

***Grant Application***  
***for the***  
**AMERICAN OVERSEAS**  
**RESEARCH CENTERS PROGRAM**

**CFDA No. 84.274A**

**Fiscal Year 2003**



**International Education and Graduate Programs Service**  
**U.S. Department of Education**  
**Washington, DC 20006-8521**

**OMB No. 1840-0068**  
**Expiration Date: 06/30/2004**

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1840-0068**. The time required to complete this information collection is estimated to average **39** hours for the project director per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** American Overseas Research Centers Program, U.S. Department of Education, 400 Maryland Avenue, S.W., (1990 K Street, NW 6<sup>th</sup> Floor) Washington, D.C. 20202-4651.

Dear Applicant:

Thank you for your interest in the Title VI American Overseas Research Centers (AORC) Program. This booklet includes the instructions and official forms needed to prepare an application for a new grant for fiscal years (FY) 2003 - 06. The Technical Review Form (including the selection criteria) is also provided to assist you in developing the narrative portion of your application.

The U.S. Department of Education (ED) is continuing its pilot project of electronic submission of applications in FY 2003, and the AORC Program is included in the pilot project. Please be advised that you must submit your application to us electronically, using e-APPLICATION, available through the ED e-GRANTS system. You may access the electronic grant application for the AORC Program at < <http://e-grants.ed.gov> >.

The AORC Program provides support to any American overseas research center that is a consortium of United States institutions of higher education to enable the center to promote postgraduate research, exchanges, and area studies. Eligible applicants to the AORC Program are centers that (1) receive more than 50 percent of their funding from public or private United States sources; (2) have a permanent presence in the country in which the center is located; and (3) are organizations described in section 501(c)(3) of the Internal Revenue Code of 1986, which are exempt from taxation under section 501(a) of the Code.

For the FY 2003 competition we are particularly interested in applications that meet the following invitational priority, in conjunction with the activities authorized under the AORC Program:

- Activities and programs designed to promote information sharing among U.S. researchers using the overseas centers.

If you have questions regarding the application process or need technical assistance, you may contact the senior program officer administering the AORC Program, Ms. Cheryl E. Gibbs < [cheryl.gibbs@ed.gov](mailto:cheryl.gibbs@ed.gov) >. Additional contact information is included in this booklet.

We appreciate your interest in the AORC Program and look forward to receiving your application.

Sincerely,

Wilbert Bryant

Deputy Assistant Secretary

for Higher Education Programs

## **CHECKLIST FOR APPLICATION PACKAGE**

Before submitting your application via e-APPLICATION, please ensure that you have completed the following items:

- ☐ Application for Federal Assistance (ED 424) with original signature of the applicant's authorizing official
- ☐ ED 524 (Budget Information)
- ☐ Detailed Budget for each year of the grant
- ☐ Assurances, Certifications, and Disclosure Forms
- ☐ Certificate of Compliance
- ☐ Abstract (1 page)
- ☐ Application Narrative (25 pages, maximum)
- ☐ Appendices (2): Biographical Information and Consortium Members
- ☐ Information that addresses Section 427 of GEPA
- ☐ A copy of the application has been submitted to the State Single Point of Contact, if intergovernmental review is required.
- ☐ The institution's correct DUNS is entered on the ED 424.

American Overseas Research Centers Program

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Title VI, American Overseas Research Centers (AORC) Program  
CFDA No. 84.274A

AUTHORIZATION and PROGRAM PURPOSE

The American Overseas Research Centers (AORC) Program is authorized under Title VI, section 609 of the Higher Education Act of 1965, as amended. The program provides grants to eligible consortia of U.S. institutions of higher education to establish or operate overseas research centers that promote postgraduate research, exchanges, and area studies.

ELIGIBLE APPLICANTS

Consortia of United States institutions of higher education.

ELIGIBILITY REQUIREMENTS FOR APPLICANT CENTERS

The Secretary shall only award grants to Centers under section 609 that:

- receive more than 50 percent of their funding from public or private United States sources;
- have a permanent presence in the country in which the center is located; and
- are organizations described in section 501(c)(3) of the Internal Revenue Code of 1993 which are exempt from taxation under section 501(a) of such Code.

ALLOWABLE ACTIVITIES AND COSTS under the AORC PROGRAM

Grants awarded under this program may be used for the following:

- to pay all or a portion of the cost of establishing or operating a center or program, including the cost of faculty and staff stipends and salaries;
- the cost of faculty, staff, and student travel;
- the cost of operation and maintenance of overseas facilities;
- the cost of teaching and research materials;
- the cost of acquisition, maintenance, and preservation of library collections;
- the cost of bringing visiting scholars and faculty to a center to teach or to conduct research;
- the cost of organizing and managing conferences; and
- the cost of publications and dissemination of material for the scholarly and general public.

## INVITATIONAL PRIORITY

For FY 2003 we are particularly interested in applications that meet the following priority:

- Activities and programs designed to promote information sharing among U.S. researchers using the overseas centers.

## SELECTION CRITERIA USED TO EVALUATE APPLICATIONS

The Secretary uses the selection criteria in sections 75.209 and 75.210, 34 CFR Part 75 of the Education Department General Administrative Regulations (EDGAR) to evaluate grant applications. The eight selection criteria from EDGAR used to evaluate AORC Program applications and the maximum points assigned to the criteria are included in the technical review form in this application booklet.

## APPLICABLE REGULATIONS

EDGAR Title 34 of the Code of Federal Regulations (CFR) Parts 74, 75, 77, 79, 82, 85 and 86.

## KEY DATES

- Deadline for Submitting Applications: November 15, 2002
- Panel Review of Applications: January 6 – 10, 2003
- Anticipated Date for Making Awards: May 31, 2003
- Award Period: 48 months, October 1, 2003 - September 30, 2007

## AORC PROGRAM CONTACT

Cheryl E. Gibbs, Senior Program Officer  
1990 K Street, NW  
6<sup>th</sup> Floor  
Washington, DC 20006-8521  
Phone: (202) 502-7634  
Fax: (202) 502- 7860  
E-mail: cheryl.gibbs@ed.gov

# American Overseas Research Centers Program

## Certificate of Eligibility Compliance

Paragraph (c) of section 609 of the statute states the limitations for awarding grants under this program:

(c) LIMITATION – The secretary shall only award grants to and enter into contracts with centers under this section that –

- (1) receive more than 50 percent of their funding from public or private United States sources;
- (2) have a permanent presence in the country in which the center is located; and
- (3) are organizations described in section 501(c)(3) of the Internal Revenue Code of 1986 which are exempt from taxation under section 501(a) of such Code.

I hereby certify that all three limitations specified above have been meant by the Center.

---

*Authorized Representative Signature*



# Application for Federal EDUCATION ASSISTANCE (ED 424)



U.S. Department of Education

Form Approved  
OMB No. 1875-0106  
Exp. 11/30/2004

## Applicant Information

### 1. Name and Address

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

Organizational Unit

City \_\_\_\_\_ State \_\_\_\_\_ County \_\_\_\_\_ ZIP Code + 4 \_\_\_\_\_

2. Applicant's D-U-N-S Number |\_\_\_\_| |\_\_\_\_| |\_\_\_\_| |\_\_\_\_| |\_\_\_\_| |\_\_\_\_| |\_\_\_\_| |\_\_\_\_| |\_\_\_\_|

6. Novice Applicant ☐ Yes ☐ No

3. Applicant's T-I-N |\_\_\_\_| |\_\_\_\_| - |\_\_\_\_| |\_\_\_\_| |\_\_\_\_| |\_\_\_\_| |\_\_\_\_| |\_\_\_\_|

7. Is the applicant delinquent on any Federal debt? ☐ Yes ☐ No  
(If "Yes," attach an explanation.)

4. Catalog of Federal Domestic Assistance #: 84. \_\_\_\_\_

Title: \_\_\_\_\_

8. Type of Applicant (Enter appropriate letter in the box.) |\_\_\_\_|

5. Project Director: \_\_\_\_\_

Address: \_\_\_\_\_

A - State  
B - Local  
C - Special District  
D - Indian Tribe  
E - Individual  
F - Independent School District  
G - Public College or University  
H - Private, Non-profit College or University  
I - Non-profit Organization  
J - Private, Profit-Making Organization

K - Other (Specify): \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip code + 4 \_\_\_\_\_

Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

## Application Information

### 9. Type of Submission:

*-PreApplication* *-Application*  
☐ Construction ☐ Construction  
☐ Non-Construction ☐ Non-Construction

### 10. Is application subject to review by Executive Order 12372 process?

☐ Yes (Date made available to the Executive Order 12372  
process for review): \_\_\_\_/\_\_\_\_/\_\_\_\_  
☐ No (If "No," check appropriate box below.)  
☐ Program is not covered by E.O. 12372.  
☐ Program has not been selected by State for review.

12. Are any research activities involving human subjects planned at  
any time during the proposed project period?  
☐ Yes (Go to 12a.) ☐ No (Go to item 13.)

12a. Are all the research activities proposed designated to be  
exempt from the regulations?  
☐ Yes (Provide Exemption(s) #): \_\_\_\_\_  
☐ No (Provide Assurance #): \_\_\_\_\_

11. Proposed Project Dates: \_\_\_\_/\_\_\_\_/\_\_\_\_ - \_\_\_\_/\_\_\_\_/\_\_\_\_

Start Date: End Date:

13. Descriptive Title of Applicant's Project: \_\_\_\_\_

## Estimated Funding

## Authorized Representative Information

14a. Federal \$ \_\_\_\_\_ . 00  
b. Applicant \$ \_\_\_\_\_ . 00  
c. State \$ \_\_\_\_\_ . 00  
d. Local \$ \_\_\_\_\_ . 00  
e. Other \$ \_\_\_\_\_ . 00  
f. Program Income \$ \_\_\_\_\_ . 00  
g. TOTAL \$ \_\_\_\_\_ . 00

15. To the best of my knowledge and belief, all data in this preapplication/application are true  
and correct. The document has been duly authorized by the governing body of the applicant  
and the applicant will comply with the attached assurances if the assistance is awarded.  
a. Authorized Representative (Please type or print name clearly.) \_\_\_\_\_  
b. Title: \_\_\_\_\_  
c. Tel. #: ( ) \_\_\_\_\_ - \_\_\_\_\_ Fax #: ( ) \_\_\_\_\_ - \_\_\_\_\_  
d. E-Mail Address: \_\_\_\_\_  
e. Signature of Authorized Representative \_\_\_\_\_ Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

## Instructions for Form ED 424

- 1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
  - 2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
  - 3. Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
  - 4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
- Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.
- Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
- 7. Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
  - 8. Type of Applicant.** Enter the appropriate letter in the box provided.
  - 9. Type of Submission.** See "Definitions for Form ED 424" attached.
  - 10. Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check "No."
  - 11. Proposed Project Dates.** Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).
  - 12. Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")  
  
**If Not Human Subjects Research.** Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.  
  
**If Human Subjects Research.** Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")
  - 12a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.
  - 12a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check "No" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.
  - 12a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.
- Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.
- 13. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
  - 14. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.
  - 15. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

Paperwork Burden Statement. **According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information**

**collection.** If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: **U.S. Department of Education, Washington, D.C. 20202-4651.** If you have comments or concerns regarding the status of your individual submission of this form write directly to: **Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725**

## Definitions for Form ED 424

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

**Type of Submission.** “Construction” includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). “Construction” also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term “equipment” includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

**Executive Order 12372.** The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to <http://www.cfda.gov/public/eo12372.htm>.

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and

evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

## —Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person’s environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

## B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects’ responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects’ financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked “Yes” for Item 12 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

### **A. Exempt Research Narrative.**

If you marked “Yes” for item 12 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked “No” for item 12 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought

and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

***Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: (202) 708-8263, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://www.ed.gov/offices/OCFO/humansub.html>***



**U.S. DEPARTMENT OF EDUCATION**

**BUDGET INFORMATION**

**NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1890-0004

Expiration Date: 02/28/2003

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY  
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						



Name of Institution/Organization		Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.				
<b>SECTION B - BUDGET SUMMARY</b> <b>NON-FEDERAL FUNDS</b>						
Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						
<b>SECTION C - OTHER BUDGET INFORMATION (see instructions)</b>						

Public reporting burden for this collection of information is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and the Office of Management and Budget, Paperwork Reduction Project 1875-0102, Washington DC 20503.

## INSTRUCTIONS FOR ED FORM 524

### General Instructions

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached.

### Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

### Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

### Section C - Other Budget Information Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.
2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. Provide other explanations or comments you deem necessary.

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

### **PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

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**Note:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, ☐ Audits of States, Local Governments, and Non-Profit Organizations. ☐
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

**Standard Form 424B (Rev. 7-97) Back**

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## CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

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### 1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

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### 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

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### 3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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Check ☐ if there are workplaces on file that are not identified here.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

## DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

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## Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions

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This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

### Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled ☐ Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, ☐ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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### Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0014, 9/90 (Replaces GCS-009 (REV.12/88), which is obsolete)

**Disclosure of Lobbying Activities**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See reverse for public burden disclosure)

<b>1. Type of Federal Action:</b> a. contract _____ b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	<b>2. Status of Federal Action:</b> a. bid/offer/application _____ b. initial award c. post-award	<b>3. Report Type:</b> a. initial filing _____ b. material change  <b>For material change only:</b> Year _____ quarter _____ Date of last report _____
<b>4. Name and Address of Reporting Entity:</b> _____ Prime _____ Subawardee Tier _____, if Known  Congressional District, if known:	<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>  Congressional District, if known:	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b> Federal Program Name/Description:  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b> \$	
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual, last name, first name, MI):</i>	<b>10. b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
<b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	
<b>Federal Use Only</b>	<b>Authorized for Local Reproduction</b> <b>Standard Form - LLL (Rev. 7-97)</b>	



## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

## EXECUTIVE ORDER 12372

### Intergovernmental Review of Federal Programs

This applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 6213, 600 Independence Avenue, SW., Washington, DC 20202-0124.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS

## STATE SINGLE POINT OF CONTACT

**Note:** In accordance with Executive Order #12372, this listing represents the designated State Single Points of Contact. Because participation is voluntary, some States and Territories no longer participate in the process. These include: Alabama, Alaska, American Samoa, Colorado, Connecticut, Hawaii, Idaho, Kansas, Louisiana, Massachusetts, Minnesota, Montana, Nebraska, New Jersey, Ohio, Oklahoma, Oregon, Pennsylvania, South Dakota, Tennessee, Vermont, Virginia, and Washington.

The jurisdictions not listed no longer participate in the process. However, an applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact.

### ARKANSAS

Tracy L. Copeland  
Manager, State Clearinghouse  
Office of Intergovernmental Services  
Department of Finance and Administration  
1515 W. 7th Street, Room 412  
Little Rock, Arkansas 72203  
Telephone: (501) 682-1074  
FAX: (501) 682-5206  
tlcopeland@dfa.state.ar.us

### DELAWARE

Charles H. Hopkins  
Executive Department  
Office of the Budget  
540 S. Dupont Highway, 3rd Floor  
Dover, Delaware 19901  
Telephone: (302) 739-3323  
FAX: (302) 739-5661  
chopkins@state.de.us

### FLORIDA

Jasmin Raffington  
Florida State Clearinghouse  
Department of Community Affairs  
Tallahassee, Florida 32399-2100  
Telephone: (850) 922-5438  
FAX: (850) 414-0479  
clearinghouse@dca.state.fl.us

### ILLINOIS

Virginia Bova  
Department of Commerce and Community Affairs  
James R. Thompson Center  
100 West Randolph, Suite 3-400  
Chicago, Illinois 60601  
Telephone: (312) 814-6028  
FAX: (312) 814-8485  
vbova@commerce.state.il.us

### KENTUCKY

Ron Cook  
Department for Local Government  
1024 Capital Center Drive, Suite 340  
Frankfort, Kentucky 40601  
Telephone: (502) 573-2382  
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ron.cook@mail.state.ky.us

### CALIFORNIA

Grants Coordination  
State Clearinghouse  
Office of Planning and Research  
P.O. Box 3044, Room 222  
Sacramento, California 95812-3044  
Telephone: (916) 445-0613  
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state.clearinghouse@opr.ca.gov

### DISTRICT OF COLUMBIA

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Federal Proposals Review Office  
Minillas Government Center  
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Note: This list is based on the most current information provided by the States. Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to grants@omb.eop.gov. If you prefer, you may send correspondence to the following postal address:

## **TITLE VI – INTERNATIONAL EDUCATION PROGRAMS**

### **SEC. 601. INTERNATIONAL AND FOREIGN LANGUAGE STUDIES.**

Part A of title VI (20 U.S.C. 1121 et seq.) is amended to read as follows:

#### **PART A--INTERNATIONAL AND FOREIGN LANGUAGE STUDIES**

##### **SEC. 601. FINDINGS AND PURPOSES.**

(a) FINDINGS- Congress finds as follows:

(1) The security, stability, and economic vitality of the United States in a complex global era depend upon American experts in and citizens knowledgeable about world regions, foreign languages, and international affairs, as well as upon a strong research base in these areas.

(2) Advances in communications technology and the growth of regional and global problems make knowledge of other countries and the ability to communicate in other languages more essential to the promotion of mutual understanding and cooperation among nations and their peoples.

(3) Dramatic post-Cold War changes in the world's geopolitical and economic landscapes are creating needs for American expertise and knowledge about a greater diversity of less commonly taught foreign languages and nations of the world.

(4) Systematic efforts are necessary to enhance the capacity of institutions of higher education in the United States for--

(A) producing graduates with international and foreign language expertise and knowledge; and

(B) research regarding such expertise and knowledge.

(5) Cooperative efforts among the Federal Government, institutions of higher education, and the private sector are necessary to promote the generation and dissemination of information about world regions, foreign languages, and international affairs throughout education, government, business, civic, and nonprofit sectors in the United States.

(b) PURPOSES- The purposes of this part are--

(1) (A) to support centers, programs, and fellowships in institutions of higher education in the United States for producing increased numbers of trained personnel and research in foreign languages, area studies, and other international studies;

(B) to develop a pool of international experts to meet national needs;

(C) to develop and validate specialized materials and techniques for foreign language acquisition and fluency, emphasizing (but not limited to) the less commonly taught languages;

(D) to promote access to research and training overseas; and

(E) to advance the internationalization of a variety of disciplines throughout undergraduate and graduate education;

(2) to support cooperative efforts promoting access to and the dissemination of international and foreign language knowledge, teaching materials, and research, throughout education, government, business, civic, and nonprofit sectors in the United States, through the use of advanced technologies; and

(4) to coordinate the programs of the Federal Government in the areas of foreign language, area studies, and other international studies, including professional international affairs education and research.

##### **SEC. 609. AMERICAN OVERSEAS RESEARCH CENTERS.**

(a) CENTERS AUTHORIZED- The Secretary is authorized to make grants to and enter into contracts with any American overseas research center that is a consortium of institutions of higher education (hereafter in this section referred to as a center") to enable such center to promote postgraduate research, exchanges and area studies.

(b) USE OF GRANTS- Grants made and contracts entered into pursuant to this section may be used to pay all or a portion of the cost of establishing or operating a center or program, including--

(1) the cost of faculty and staff stipends and salaries;

(2) the cost of faculty, staff, and student travel;

(3) the cost of the operation and maintenance of overseas facilities;

- (4) the cost of teaching and research materials;
- (5) the cost of acquisition, maintenance, and preservation of library collections;
- (6) the cost of bringing visiting scholars and faculty to a center to teach or to conduct research;
- (7) the cost of organizing and managing conferences; and
- (8) the cost of publication and dissemination of material for the scholarly and general public.

(c) LIMITATION- The Secretary shall only award grants to and enter into contracts with centers under this section that--

- (1) receive more than 50 percent of their funding from public or private United States sources;
- (2) have a permanent presence in the country in which the center is located; and
- (3) are organizations described in section 501(c)(3) of the Internal Revenue Code of 1986 which are exempt from taxation under section 501(a) of such Code.

(d) DEVELOPMENT GRANTS- The Secretary is authorized to make grants for the establishment of new centers. The grants may be used to fund activities that, within 1 year, will result in the creation of a center described in subsection (c).

4000-01-U

DEPARTMENT OF EDUCATION

(CFDA No. 84.274A)

Office of Postsecondary Education.

American Overseas Research Centers Program

Notice inviting applications for new awards for fiscal year (FY) 2003.

PURPOSE OF PROGRAM: The American Overseas Research Centers (AORC) Program makes awards to any American overseas research center that is a consortium of United States institutions of higher education to enable the center to promote postgraduate research, exchanges, and area studies.

AORC awards may be used to pay all or a portion of the cost of establishing or operating a center or program, including the cost of operation and maintenance of overseas facilities; the cost of organizing and managing conferences; the cost of teaching and research materials; the cost of acquisition, maintenance, and preservation of library collections; the cost of bringing visiting scholars and faculty to the center to teach or to conduct research; the cost of faculty and staff stipends and salaries; the cost of faculty, staff, and student travel; and, the cost of publication and dissemination of material for the scholarly and general public.

For FY 2003 the competition for new awards focuses on projects designed to meet the priorities described in the PRIORITIES section of this application notice.

ELIGIBLE APPLICANTS: Centers that (1) receive more than 50 percent of their funding from public or private United States sources; (2) have a permanent presence in the country in which the center is located; and (3) are organizations described in section 501(c)(3) of the Internal Revenue Code of 1986, which are exempt from taxation under section 501(a) of the Code.

APPLICATIONS AVAILABLE: October 11, 2002.

DEADLINE FOR TRANSMITTAL OF APPLICATIONS: November 15, 2002.

DEADLINE FOR INTERGOVERNMENTAL REVIEW: January 14, 2003.

ESTIMATED AVAILABLE FUNDS: The Administration has requested \$1,000,000 for this program for FY 2003. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process, if Congress appropriates funds for this program.

ESTIMATED RANGE OF AWARDS: \$38,378 - \$126,509.

ESTIMATED AVERAGE SIZE OF AWARDS: \$76,923 per year.

ESTIMATED NUMBER OF AWARDS: 13.



Note: The Department is not bound by any estimates in this notice.

PROJECT PERIOD: 48 months.

PAGE LIMIT: The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the narrative to the equivalent of no more than 25 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions. However, you may single space all text in charts, tables, figures and graphs.
- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch). However you may use a 10-point font in charts, tables, figures, and graphs.

The page limit does not apply to the cover sheet; the budget section, including the narrative budget justification; the assurances and certifications; or the one-page abstract or the appendices. However, you must include all of the application narrative in responding to the selection criteria.

We will reject your application if--

- You apply these standards and exceed the page limit; or
- You apply other standards and exceed the equivalent of the page limit.

APPLICABLE REGULATIONS: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

Note: The AORC Program does not have program specific regulations; therefore, applicants are directed to the authorizing statute, section 609 of part A, title VI of the Higher Education Act of 1965, as amended.

## **PRIORITIES:**

### **INVITATIONAL PRIORITY:**

We are particularly interested in applications that meet the following priority.

Activities and programs designed to promote information sharing among U.S. researchers using the overseas centers.

Under 34 CFR 75.105(c)(1) we do not give an application that meets the priority a competitive or absolute preference over other applications.

### Application Procedures

The Government Paperwork Elimination Act (GPEA) of 1998, (Pub. L.105-277) and the Federal Financial Assistance Management Improvement Act of 1999, (Pub.L. 106-107) encourage us to

undertake initiatives to improve our grant processes. Enhancing the ability of individuals and entities to conduct business with us electronically is a major part of our response to these Acts. Therefore, we are taking steps to adopt the Internet as our chief means of conducting transactions in order to improve services to our customers and to simplify and expedite our business processes.

We are requiring that applications for the FY 2003 AORC Program competition for new awards be submitted electronically using e-APPLICATION available through the Education Department's e-GRANTS system. The e-GRANTS system is accessible through its portal page at:

<http://e-grants.ed.gov>

Applicants who are unable to submit an application through the e-GRANTS system may apply for a waiver to the electronic submission requirement. To apply for a waiver, applicants must explain the reason(s) that prevent them from using the Internet to submit their applications. The reason(s) must be outlined in a letter addressed to Cheryl E. Gibbs, U.S. Department of Education, 1990 K Street, NW., Suite 6000, Washington, DC 20006-8521. Please submit your letter no later than two weeks before the deadline for transmittal of applications.

Any application that receives a waiver to the electronic submission requirement will be given the same consideration in the review process as an electronic application.

#### **WAIVER OF PROPOSED RULEMAKING**

Some of the procedures in these instructions for transmitting applications differ from those in the Education Department General Administrative Regulations (EDGAR) (34 CFR 75.102). Under the Administrative Procedure Act (5 U.S.C. 553) the Department generally offers interested parties the opportunity to comment on proposed regulations. However, these amendments make procedural changes only and do not establish new substantive policy. Therefore, under 5 U.S.C. 553(b)(A), the Secretary has determined that proposed rulemaking is not required.

#### **Pilot Project for Electronic Submission of Applications**

In FY 2003, the U.S. Department of Education is continuing to expand its pilot project of electronic submission of applications to include additional formula grant programs and additional discretionary grant competitions. The AORC Program (CFDA 84.274A) is one of the programs included in the pilot project. If you are an applicant under the AORC Program, you must submit your application to us in electronic format or receive a waiver.

The pilot project involves the use of the Electronic Grant Application System (e-APPLICATION, formerly e-GAPS) portion of the Grant Administrative and Payment System (GAPS). We shall continue to evaluate its success and solicit suggestions for improvement.

Please note the following:

- Do not wait until the deadline date for the transmittal of applications to submit your application electronically. If you wait until the deadline date to submit your application electronically and you are unable to access the e-APPLICATION system, you must contact the Help Desk by 4:30 p.m. Washington, DC time on the deadline date.
- Keep in mind that e-APPLICATION is not operational 24 hours a day 7 days a week. Click on Hours of Web Site Operation for specific hours of access during the week.
- You will have access to the e-APPLICATION Help Desk for technical support: 1-888-336-8930 (TTY: 1-866-697-2696, local 202-401-8363). The Help Desk hours of operation are limited to: 8 a.m. – 6 p.m. Washington DC time Monday – Friday.
- You can submit all documents electronically, including the Application for Federal Assistance (ED 424 Standard Face Sheet), Budget Information-Non-Construction Programs (ED 524), and all necessary assurances and certifications.
- Within three working days of submitting your electronic application, fax a signed copy of the Application for Federal Assistance (ED 424 Standard Face Sheet) to the Application Control Center after following these steps:
  1. Print ED 424 from the e-APPLICATION system.
  2. Make sure that the applicant's Authorized Representative signs this form.
  3. Before faxing this form, submit your electronic application via the e-APPLICATION system. You will receive an automatic acknowledgement, which will include a PR/Award number (an identifying number unique to your application).
  4. Place the PR/Award number in the upper right hand corner of ED 424.
  5. Fax ED 424 to the Application Control Center at (202) 260-1349.
- We may request that you give us original signatures on all other forms at a later date.

You may access the electronic grant application for the AORC Program at:

<http://e-grants.ed.gov>

We have included additional information about the e-APPLICATION pilot project (see Parity Guidelines between Paper and Electronic Applications) in the application package.

FOR FURTHER INFORMATION CONTACT: Cheryl E. Gibbs, International Education and Graduate Programs Service, U.S. Department of Education, 1990 K Street, NW., Suite 6000, Washington, DC 20006-8521. Telephone: (202) 502-7634 or via Internet:

[cheryl.gibbs@ed.gov](mailto:cheryl.gibbs@ed.gov)

If you use a telecommunications device for the deaf (TDD), you may call the Federal Information Relay Service (FIRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the program contact person listed under FOR FURTHER INFORMATION CONTACT.

Individuals with disabilities may obtain a copy of the application package in an alternative format by contacting that person. However, the Department is not able to reproduce in an alternative format the standard forms included in the application package.

#### Electronic Access to This Document

You may view this document, as well as all other Department of Education documents published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

[www.ed.gov/legislation/FedRegister](http://www.ed.gov/legislation/FedRegister)

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

You may also view this document in PDF at the following site:

<http://www.ed.gov/offices/OPE/HEP/iegps/>

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

<http://www.access.gpo.gov/nara/index.html>

PROGRAM AUTHORITY: 20 U.S.C. 1128a.

Dated:

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Sally L. Stroup,  
Assistant Secretary  
Office of Postsecondary Education.

**AMERICAN OVERSEAS RESEARCH CENTERS PROGRAM**  
**APPLICATION CONTENTS**

You must submit your application to us electronically using e-APPLICATION, available through the Education Department's e-GRANTS system. The e-GRANTS system is accessible through its portal page at <http://e-grants.ed.gov>> See "e-APPLICATION Transmittal Instructions" for guidance on submitting your application electronically.

**Standard Face (Cover) Sheet:** Use ED 424 Application for Federal Assistance as the standard face (cover) sheet for your application.

**Abstract:** One page that profiles the Center's mission, the services it provides, its resources, and constituents served. The abstract may be single or double – spaced and is not included in the page limit.

**Certificate of Eligibility Compliance:** This statement certifies that the applicant Center is in compliance with the eligibility requirements specified in section 609, part A, title VI of the Higher Education Act of 1965, as amended.

**Application Narrative and Page Limit:** Please limit the narrative to the equivalent of no more than 25 pages. Please refer to page 39 of this booklet for guidance on what constitutes a page. The page limit does not apply to the abstract; the cover sheet; the budget section, including the budget justification; the assurances and certificates, or the appendices. The entire narrative must respond to the selection criteria included in the technical review form (pp 34 – 38). These are the selection criteria the panel of academic experts will use to evaluate your grant application. To facilitate the evaluation, use the following headings to present the information in the narrative:

1. Meets the Purpose of the Authorizing Statute
2. Need for the Project
3. Significance of the Project
4. Project Design
5. Project Services
6. Project Personnel
7. Resources
8. Project Evaluation

The responses to the eight selection criteria should describe activities and services that are unique to the Center, as well as how the proposed activities and facilitative services will be developed and implemented during the four-year project period. Provide information sufficient to address all factors in the selection criteria. Your responses should also include information to strengthen your "argument" for support. In "Adequacy of Resources", for example, discuss existing resources in addition to specifying what resources are needed, and where they are needed, i.e., the U.S. – based office or the overseas Center. When requesting personnel resources, indicate positions requested for the U.S. - based office and those requested for the overseas Center.

**Appendices:** Provide only two appendices--

1. List of United States institutions of higher education that are consortium members of the applicant Center.
2. Biographical information for administrative and professional staff directly involved with the proposed project. Include this information for the United States office and the overseas Center.

**Assurances and Certifications:** All official forms can be submitted electronically. Please be advised that, at a later date, we may request that you submit assurances and certifications that bear original signatures.

**Budget Form and Budget Detail:** The budget should reflect costs that are reasonable and necessary for administration and for developing and implementing activities described in the narrative. Complete ED Form 524 Section A- Budget Summary U.S. Department of Education Funds to indicate funds requested for the 48--month project period. Complete ED Form Section B-Non-Federal Funds to indicate support from other public or private United States sources.

Fill in columns (a) Project Year 1; (b) Project Year 2; (c) Project Year 3; (d) Project Year 4; and, (f) Total.

Eight percent (8%) is pre printed on line 10 of ED Form 524. In accordance with section 75.562 of the Education Department General Administrative Regulations (EDGAR), the Secretary approves an indirect cost rate of 8% of the total direct costs of the project for an educational training project. Applicants have the option of charging indirect costs of 8% of total direct charges to the grant or not charging indirect costs to the grant.

In addition to ED Form 524, applicants must attach budget detail pages that itemize and explain the costs requested for each budget category for each year of the project.

The budget forms and budget detail pages are not included in the page limit.

(CFDA 84.274A)

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Rating Scale for Criterion with Maximum Points of 20					
Unaddressed	Poor	Average	Good	Very Good	Outstanding
0	1-4	5-8	9-12	13-16	17-20
<b>1. Meets the Purposes of the Authorizing Statute (20 Points)</b> <p>Evaluate the extent to which the proposed project meets the purpose of section 601 of the international education programs statute, which is to assist in the development of knowledge, international study, resources and trained personnel, to stimulate the attainment of foreign language fluency, and to develop a pool of international experts to meet national needs. Also, evaluate the extent to which the proposed project objectives meet the purpose of the American Overseas Research Centers program in section 609, which is to establish or operate an American overseas research center to promote postgraduate research, exchanges, and area studies.</p>					<b>Points Assigned:</b>
<b>Rating Scale for Criterion with Maximum Points of 15</b>					
Unaddressed	Poor	Average	Good	Very Good	Outstanding
0	1-3	4-6	7-9	10-12	13-15
<b>2. Need for the Project (15 Points)</b> <p>Evaluate the following factors in determining the need for the project: (a) the magnitude of the need for the services to be provided or the activities to be carried out by the proposed project; (b) the extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses; and, (c) the extent to which the proposed project will prepare persons for fields for which shortages have been demonstrated.</p>					<b>Points Assigned:</b>



<b>Rating Scale for Criterion with Maximum Points of 10</b>					
<b>Unaddressed</b>	<b>Poor</b>	<b>Average</b>	<b>Good</b>	<b>Very Good</b>	<b>Outstanding</b>
0	1-2	3-4	5-6	7-8	9-10
<b>3. Significance of the Project (10 Points)</b> Evaluate the following factors in determining the significance of the proposed project:(a) the national significance of the proposed project; and, (b) the significance of the problem or issue to be addressed by the proposed project.					<b>Points Assigned:</b>
<b>Rating Scale for Criterion with Maximum Points of 15</b>					
<b>Unaddressed</b>	<b>Poor</b>	<b>Average</b>	<b>Good</b>	<b>Very Good</b>	<b>Outstanding</b>
0	1-3	4-6	7-9	10-12	13-15
<b>4. Quality of the Project Design (15 Points)</b> Evaluate the following factors in determining the quality of the project design: (a) the extent to which the quality of the design of the proposed project is appropriate to, and will successfully achieve, the needs of the target population or other identified needs; (b) the extent to which the proposed activities constitute a coherent sustained program of training in the field; (c) the extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance; and (d) the extent to which the proposed project will be coordinated with similar or related efforts, and with other appropriate community, State, and Federal resources.					<b>Points Assigned:</b>

Rating Scale for Criterion with Maximum Score of 10 Points					
Unaddressed	Poor	Average	Good	Very Good	Outstanding
0	1-2	3-4	5-6	7-8	9-10
<b>5. Quality of Project Services (10 Points)</b> Evaluate the quality and the sufficiency of strategies for ensuring equal access and treatment for eligible project participants who are members of groups that have been traditionally underrepresented based on race, color, national origin, gender, age, or disability.					<b>Points Assigned:</b>

  

Rating Scale for Criterion with Maximum Score of 10 Points					
Unaddressed	Poor	Average	Good	Very Good	Outstanding
0	1-2	3-4	5-6	7-8	9-10
<b>6. Quality of Project Personnel (10 Points)</b> Evaluate the quality of the personnel who will carry out the proposed project, based on the following factors: (a) the extent to which the applicant encourages applications for employment from persons who are members of groups that have been traditionally underrepresented based on race, color, national origin, gender, age, or disability; and, (b) the qualifications, including relevant training and experiences, of key project personnel.					<b>Points Assigned:</b>

Rating Scale for Criterion with Maximum Score of 10 Points					
Unaddressed	Poor	Average	Good	Very Good	Outstanding
0	1-2	3-4	5-6	7-8	9-10
<b>7. Adequacy of Resources (10 Points)</b> Evaluate the adequacy of resources for the proposed project based on the following factors: (a) the adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization, or the lead applicant organization; and, (b) the extent to which the costs are reasonable in relation to the number of personnel to be served and to the anticipated results and benefits.					<b>Points Assigned:</b>
<b>Rating Scale for Criterion with Maximum Score of 10 Points</b>					
Unaddressed	Poor	Average	Good	Very Good	Outstanding
0	1-2	3-4	5-6	7-8	9-10
<b>8. Quality of Project Evaluation (10 Points)</b> Evaluate the extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.					<b>Points Assigned:</b>

## INSTRUCTIONS FOR SUBMITTING AN APPLICATION ELECTRONICALLY (e-APPLICATION)

In FY 2003, the U.S. Department of Education is continuing to expand its pilot project of electronic submission of applications to include the American Overseas Research Centers Program. The pilot project involves the use of the Electronic Grant Application System (e-APPLICATION) portion of the Grant Administrative and Payment System (GAPS). The system allows applicants to submit a grant application to us electronically, using a current version of the applicant's Internet browser.

When using e-APPLICATION, you will be entering data on-line while completing your application. This process is more interactive than merely e-mailing a soft copy of your application because the data you enter on-line will go directly into a database that will be accessible to a panel of academic reviewers using e-READER.

### E-APPLICATION PROCESS

1. You can submit all portions of the grant application electronically, including all official forms, assurances, and certifications.
2. You may access e-APPLICATION, available through the Education Department's e-GRANTS system, at: <http://e-grants.ed.gov>>
3. You must limit the narrative to the equivalent of no more than 25 pages, using the following standards:
  - A "page" is 8.5"x 11", with 1" margins at the top, bottom, and both sides.
  - Double-space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions. However, you may single space all text in charts, tables, figures, and graphs.
  - Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch). However, you may use a 10-point font in charts, tables, figures, and graphs.
4. Within three working days of submitting your application electronically, log back into e-APPLICATION and print a copy of ED 424 Application for Federal Assistance from the e-APPLICATION system. Set the form aside until you complete step 5.
5. Submit your application again using the e-APPLICATION system. You will receive an automatic acknowledgement, which will include a PR/Award number--an identifying number unique to your application.
6. Enter the PR/Award number in the upper right hand corner of ED 424 that you printed from the system in step 4.
7. Have the Authorized Representative sign on line 15 (e) of ED 424.
8. Fax ED 424 to the Application Control Center at (202) 260-1349.

### HOURS AVAILABLE AND TECHNICAL SUPPORT

Applicants are advised that e-APPLICATION is not accessible 24 hours a day, 7 days a week. To view the schedule that the system is operational, click on "Hours of Web Site Operation" for specific hours of access during the week.

You will have access to the e-APPLICATION Help Desk for technical support at 1-888-336-8930 (TTY: 1-866-697-2696, local (202) 401-8363). The Help Desk hours of operation are limited to: 8 a.m. – 6 p.m. Washington, DC time, Monday– Friday.

Do not wait until the deadline date for the transmittal of applications to submit your application electronically. If you wait until the deadline date to submit your application electronically, and you are unable to access the e-APPLICATION system, you must contact the Help Desk by 4:30 p.m. Washington, DC time on the deadline date.

# **IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS IN U.S. DEPARTMENT OF EDUCATION CONTRACT AND GRANT PROGRAMS**

## **GRANTS**

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds.

Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste.

For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that

**Failure to meet a deadline will mean that an applicant will be rejected  
without any consideration whatever.**

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$340.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.)

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register.

Questions regarding submission of applications may be addressed to:

U.S. Department of Education  
Application Control Center  
Washington, D.C. 20202-4725

## **CONTRACTS**

Competitive procurement actions undertaken by the ED are governed by the Federal Procurement Regulations and implementing ED Procurement Regulations.

Generally, prospective competitive procurement actions are synopsisized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP).

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracting Specialist identified on the face page of the RFP.

Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP.

A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulations is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents  
U.S. Government Printing Office  
Washington, D.C. 20402-9371

In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may, therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

**ED FORM 5348, 8 '92  
REPLACES ED FORM 5348, 6 '86, WHICH IS OBSOLETE**

## NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is **Section 427 of GEPA**, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

### To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

### What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

### **Estimated Burden Statement for GEPA Requirements**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0007**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, SW (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248.

Applicants for grants under the American Overseas Research Centers Program (CFDA 84.274A) may incorporate information on how they plan to meet the provisions of Section 427 of GEPA when responding to the selection criterion *"Quality of Project Personnel"*. *Your GEPA information is in addition to the information you provide to address the evaluation factors in the criterion. Or, if you prefer, you may attach a separate statement to the Federal forms to describe how you plan to meet the provisions of Section 427 of GEPA.*



**Notice to Applicants:  
The Government Performance and Results Act (GPRA)**

**What is GPRA?**

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve congressional decision-making through more objective information on the effectiveness of federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

**How has the Department of Education Responded to the GPRA Requirements?**

As required by GPRA, the Department of Education has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

- Goal 1: Create a Culture of Achievement*
- Goal 2: Improve Student Achievement*
- Goal 3: Develop Safe Schools and Strong Character*
- Goal 4: Transform Education into an Evidence-based Field*
- Goal 5: Enhance the Quality of and Access to Postsecondary and Adult Education*
- Goal 6: Establish Management Excellence*

The performance indicators for the International Education Programs are part of the Department's plan for meeting Goal 5: Enhance the Quality of and Access to Postsecondary and Adult Education.

**What are the Performance Indicators for the International Education Programs?**

The Department's specific goal for the International Education Programs is "to meet the nation's security and economic needs through the development and maintenance of a national capacity in foreign languages, and area and international studies." The objective and performance indicators are as follows:

1. **Maintain a U.S. higher education system with the capacity to produce experts in less commonly taught languages and area studies who are capable of contributing to the needs of U.S. government, academic, and business institutions.**
  - (1.1) Title VI supported institutions provide the majority of the instruction in foreign languages, especially in less commonly taught languages.
  - (1.2) Percentage of graduates of Title VI supported programs report that they found employment that utilizes their language and/or area expertise.

**The Evaluation of Exchange, Language, International and Area Studies (EELIAS):**

On August 25, 2000, the Office of Management and Budget approved the Evaluation of Exchange, Language, and Area Studies (EELIAS) electronic performance reporting system for collecting performance narratives and project data for all Title VI programs.

If your center or program is awarded a new FY 2003 American Overseas Research Centers Program grant, you will be required to submit your annual performance reports using EELIAS. EELIAS is designed to collect comparable performance information across Title VI programs. In addition to providing evaluation data to inform the federal strategic planning and budget processes, the performance reports assist IEGPS program officers in determining grantees' progress toward meeting the approved project objectives and whether to make non-competing continuation awards in fiscal years 2004, 2005, and 2006.

## FREQUENTLY- ASKED QUESTIONS

**Q. If we are unable to submit our application electronically, does this mean we cannot apply?**

**A.** No. Applicants who are unable to submit an application through the e-APPLICATION system may apply for a waiver to the electronic submission requirement. To apply for a waiver, you must explain via a letter to the IEGPS contact person, the reason(s) that prevent you from using the Internet to submit an application. Please submit your letter no later than two weeks before the deadline for transmittal of applications.

**Q. Will applications that receive a waiver to the electronic submission requirement receive the same consideration in the review process as applications submitted via e-APPLICATION?**

**A.** Yes.

**Q. What conditions will cause the grant application not to be evaluated for funding?**

**A.** The grant application will not be evaluated for funding if: the applicant is not eligible; the applicant does not comply with all of the procedural rules governing the submission of the application; the application does not contain the information required under the program; or, the proposed project cannot be funded under the authorizing statute or implementing regulations for the program. (EDGAR 75.216)

**Q. What is the maximum amount that an applicant may request in the proposed budget?**

**A.** Applicants should develop a budget for a 48-month project period. The amount requested for each budget year of the 48-month project should comply with the amounts suggested in the “estimated range of awards” section of the Federal Register notice included in this application.

If a “maximum award amount” is specified in the Federal Register notice inviting applications, the Department may reject without consideration or evaluation any application that proposes a project funding level that exceeds the stated maximum award amount. (EDGAR 75.104(b))

**Q. Who evaluates the grant applications submitted for competition, and what selection criteria do they are used to evaluate the applications?**

**A.** Three academic experts in the fields of modern foreign languages and area studies evaluate the grant applications in accordance with section 609 part A of the Title VI statute and with the selection criteria in EDGAR sections 75.209 and 75.210.

Each expert independently reads and scores each application using the technical review form included in this application booklet. The form includes the selection criteria and the maximum number of points for the criteria. The form requests each reader’s numerical rating on each of the eight criteria. For the FY 2003 grant competition, academic experts will evaluate applications using the electronic system e-READER.

**Q. How does the Department decide which applicants to recommend for new grant awards, and when are applicants notified of the Department's decisions?**

**A.** Program officials in the Department determine the order in which applications will be selected for grants based on the applicant's rank in the competition. The rank is established by the average of the total scores assigned by the three readers. In conjunction with the rank order of the application, the Department considers the following information in deciding which applicants to recommend for new grant awards: (1) the information in the application and (2) any other information relevant to a criterion, priority, or other requirement that applies to the selection of applications for new awards, including the applicant's performance and use of funds under a previous award under any Department program. (EDGAR 75.217)

To officially award a grant, the Department processes a notification of grant award and sends it to the grantee. The notification of grant award sets the amount of the grant award and establishes other specific conditions, if any. (EDGAR 75.235) The Department expects to notify applicants about the status of their applications by May 31, 2003.

**Q. If an applicant is recommended for a new grant award in FY 2003, what are the requirements for receiving continuation funding after the first budget period?**

**A.** The Department may make a continuation award for a budget period after the first budget period of an approved multi-year project if: (1) the Congress has appropriated sufficient funds under the program; and (2.) the recipient submits an annual performance report that includes information indicating substantial progress toward meeting the objectives in its approved application. (EDGAR 75.253)